



PATENT  
Docket No. 348022001200

CERTIFICATE OF MAILING BY "FIRST CLASS MAIL"

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to:  
Assistant Commissioner for Patents, Washington, D.C. 20231, on July 11, 2000.

*Patricia Ellison*  
Patricia Ellison

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In the application of:

De Chao YU and  
Daniel R. HENDERSON

Serial No.: 09/392,822

Filing Date: September 9, 1999

For: ADENOVIRUS VECTORS  
CONTAINING CELL STATUS-  
SPECIFIC RESPONSE ELEMENTS  
AND METHODS OF USE THEREOF

Examiner: G. Lee

Group Art Unit: 1632

TRANSMITTAL

Assistant Commissioner for Patents  
Washington, D.C. 20231

Dear Sir:

Enclosed please find the following:

1. Information Disclosure Statement - 3 pages
2. Copy of International Search Report - 3 pages
3. Form PTO-1449 - 5 pages, plus copy
  - Seventy-seven (77) references
4. Check in the amount of \$240.00 - 1 page
5. Return postcard - 1 page

The Assistant Commissioner is hereby authorized to charge any fees under 37 C.F.R. §§ 1.16, 1.17, and 1.21 that may be required by this transmittal, or to credit any overpayment, to Deposit Account No. 03-1952.

Respectfully submitted,

Dated: July 10, 2000

By:

Catherine M. Polizzi  
Catherine M. Polizzi  
Registration No. 40,130  
by Debra J. Glantz 33,888  
Morrison & Foerster<sub>LLP</sub>  
19900 MacArthur Boulevard  
Suite 1200  
Irvine, California 92612-2445  
Telephone: (650) 813-5651  
Facsimile: (949) 251-0900



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GAU 1632  
12-22-00  
P.2

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INFORMATION DISCLOSURE  
STATEMENT UNDER 37 C.F.R. § 1.97

Assistant Commissioner for Patents  
Washington, D.C. 20231

Dear Sir:

Pursuant to 37 C.F.R. § 1.97 and § 1.98, applicants submit for consideration in the above-identified application the documents listed on the attached Form PTO-1449. Copies of the documents are also submitted herewith. The Examiner is requested to make these documents of record.

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pa-433155

Applicants bring to the attention of the Examiner the following co-pending applications:  
Serial No. 60/099,791 filed September 10, 1998. In accordance with 37 C. F. R. § 1.98(a)(2)(iii),  
copies of the listed patent applications are not included.

*IDS based on a Search Report*

The documents numbered 2, 6, 8-10, 62, 67, 76 on the attached Form PTO-1449 were  
cited in a Search Report mailed on February 11, 2000 (copy attached), directed to a counterpart  
international or foreign application.

This Information Disclosure Statement is submitted:

- ☐ Within three months of the application filing date or before receipt of a first Office Action  
on the merits; accordingly, no fee or separate requirements are required.
- ☒ After receipt of a first Office Action on the merits but before a final Office Action or  
Notice of Allowance.
  - ☒ A fee is required. A check in the amount of \$240.00 is enclosed.
  - ☐ A Certification under 37 C.F.R. § 1.97(e) is provided below; accordingly, no fee  
is believed to be due.
- ☐ After receipt of a final Office Action or Notice of Allowance, but before payment of the  
issue fee. Accordingly, a Petition requesting consideration of the Information Disclosure  
Statement, an authorization to charge our deposit account, and a Certification under 37  
C.F.R. § 1.97(e) are provided herein.

Applicants would appreciate the Examiner initialing and returning the Form PTO-1449,  
indicating that the information has been considered and made of record herein.

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This Information Disclosure Statement under 37 C.F.R. § 1.97 is not to be construed as a representation that: (i) a complete search has been made; (ii) additional information material to the examination of this application does not exist; (iii) the information, protocols, results and the like reported by third parties are accurate or enabling; or (iv) the above information constitutes prior art to the subject invention.

In the unlikely event that the transmittal letter is separated from this document and the Patent Office determines that an extension and/or other relief is required, applicants petition for any required relief including extensions of time and authorizes the Assistant Commissioner to charge the cost of such petitions and/or other fees due in connection with the filing of this document to **Deposit Account No. 03-1952** referencing 348022001200. However, the Assistant Commissioner is not authorized to charge the cost of the issue fee to the Deposit Account.

Dated: July 19, 2000

Respectfully submitted,

By: Catherine M. Polizzi  
Catherine M. Polizzi  
Registration No. 40,130  
by DEBRA J. GLAISTER  
Morrison & Foerster LLP  
755 Page Mill Road  
Palo Alto, California 94304-1018  
Telephone: (650) 813-5651  
Facsimile: (650) 494-0792  
Reg # 33,888